

**THE PUBLIC INTEREST ENERGY RESEARCH (PIER) PROGRAM,
BUILDINGS ENERGY EFFICIENCY**

**REQUEST FOR PROPOSALS
RFP #500-02-501**

For

***Research, Development, and Demonstration Programs Focused on
Energy-related Indoor Environmental Quality***



State of California
California Energy Commission
December 2, 2002

Questions or clarifications about this RFP should be directed to:

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This RFP is available on the following Web Sites:

Energy Commission	energy.ca.gov/contracts
California State Contracts Register	cscr.dgs.ca.gov/cscr

The Terms and Conditions for this RFP are available at the following Web Sites:

General Terms and Conditions	energy.ca.gov/contracts
Univ. of California Campuses	energy.ca.gov/contracts
U.S. Dept. of Energy Labs	eren.doe.gov/eere/stateagreements

Copies of this RFP may be obtained by writing or calling:

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VI. RFP Attachments

Attachment No.	Attachment Title
1	Notice of Intent to Bid
Volume 1 Forms	
2	Application and Program Information Form
3	Contractor Certification Clauses
4.1	Prime Bidder Certification of Disabled Veteran Owned Business Participation
4.2	List of Disabled Veteran Owned Business Participation
4.3	Document of Good Faith Efforts
5.0	Small Business/Disabled Veteran Business Enterprise Application Instruction
5.1	Target Area Contract Preference Act Form (Std 830)
5.2	Enterprise Zone Act Preference Request Form (Std 831)
5.3	Local Agency Military Base Recovery Area Form (Std 832)
Volume 2 Forms	
6	Executive Summary Form
7	Agreement Terms and Conditions
8 (A)	Scope of Work (Agreement Exhibit A)
8 (A-1)	Schedule of Deliverables & Due Dates, & the Gantt Chart (Agreement Exhibit A-1)
8 (A-2)	Content and Format of Progress Reports (Agreement Exhibit A-2)
8 (A-3)	Final Report Instructions (Agreement Exhibit A-3)
9 (B)	Program Budget Forms
10 (F)	List of Contacts, Key Personnel, and Key Subcontractors (Agreement Exhibit F)
11	Customer References
12	Program Description, Program Director and Program Team, and Program Funding and Match Funding
Volume 3 Confidential Information	
13 (E)	Confidential Deliverables and Pre-existing Intellectual Property List (Agreement Exhibit E)

Note that several of the RFP Attachments will become exhibits to future Agreements as shown by the Agreement exhibit letter in the title.

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I. Introduction

1. How is this RFP Organized?

This Request for Proposals (RFP) is organized into the following sections:

Section I Introduction

Section II Goals and Objectives of this RFP

Section III Evaluation Process and Criteria

Section IV Administrative Information

Section V Proposal Format and Required Documents

Section VI RFP Attachments (Including Forms)

2. What is the Schedule for the RFP?

Key activities and dates for this RFP are presented below. This is a tentative schedule. Please call the Commission Contracts Office to confirm dates.

ACTIVITY	Action Date
RFP Release	December 2, 2002
Pre-Bid Conference, Sacramento, CA	December 16, 2002
Deadline for Submittal of Questions	December 16, 2002
Distribute Questions/Answers and Addenda (if any) to RFP	January 6, 2003
Due Date for Notice of Intent to Bid	January 14, 2003
Publishing deadline for DVBE Advertising *	January 17, 2003
Deadline to Submit Proposals	January 31, 2003 5:00 p.m.
Interviews with Bidders (if necessary)	March 17-20, 2003
Posting of Notice of Proposed Award	March 24, 2003
Commission Business Meeting to Approve Agreements	June 18, 2003
Agreement Start Date	July 1, 2003
Latest Agreement Termination Date	March 31, 2007

*** Your proposal will be rejected if the first day of DVBE advertising is later than January 17, 2003.**

3. Will There be an Opportunity to Meet with representatives of the Commission about the RFP?

Yes. There will be one Pre-Bid Conference; participation in this meeting is **optional** but encouraged.

The Pre-Bid Conference will be held at the date, time and place listed below. Please call (916) 654-4392 or refer to the Commission's website at www.energy.ca.gov to confirm the date and time.

December 16, 2002
9 a.m. to 12 noon
California Energy Commission
Hearing Room A, First Floor
1516 9th Street
Sacramento, CA 95814
Telephone: (916) 654-4392

I. Introduction, Continued

4. How Do I ask Questions about the RFP?

During the RFP process, questions or clarifications about this RFP must be directed to the Contracts Officer listed in the following section. You may ask questions at the Pre-Bid Conference, and you may submit written questions up to the close of business on the day of the Pre-Bid Conference. Questions may be submitted in writing via mail, electronic mail, FAX, verbally and by phone. After the Pre-Bid Conference, question and answer sets will be mailed to all parties who requested a copy of this RFP from the Commission Contracts Office and all that attended the Pre-Bid conference. The questions and answers will also be posted on the Commission's website at:

<http://www.energy.ca.gov/contracts/index.html>.

Any verbal communication with a Commission employee concerning this RFP is not binding on the State and shall in no way alter a specification, term, or condition of the RFP.

5. Who Do I Contact for Information Regarding the RFP?

JUDITH EFHAN, CONTRACTS OFFICER

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6. What is the Public Interest Energy Research (PIER) Program?

In 1996, Governor Wilson signed into law Assembly Bill (AB) 1890 (1996 California Statutes, Chapter 854) which provided authority for a fundamental restructuring of California's electric services industry. Among other things, AB 1890 added Section 381 to the Public Utilities Code, requiring that at least \$62.5 million be collected annually from investor-owned electric utility ratepayers for "public interest" energy RD&D efforts not adequately provided by competitive and regulated markets. The California Energy Commission administers these funds through the PIER program.

Since the funds for the PIER program are paid by specified investor owned utility (IOU) electricity ratepayers, the RD&D efforts supported by these funds must provide benefits to these electricity ratepayers. However, while the program will emphasize electricity-related RD&D activities, RD&D efforts that benefit other types of energy users may also qualify for PIER funding if such projects also provide benefits to electricity ratepayers as well.

The Commission's RD&D Strategic Plan identifies the overall mission of the PIER program as follows:

"The mission of the 'Public Interest Energy Research' program is to conduct public interest energy research that seeks to improve the quality of life for California's citizens by providing environmentally sound, safe, reliable and affordable energy services and products. 'Public interest energy research' includes the full range of research, development

I. Introduction, Continued

and demonstration activities that will advance science or technology not adequately provided by competitive and regulated markets.”

The PIER program is implemented through six distinct program areas:

1. Buildings Energy Efficiency
2. Industrial/Ag/Water Energy Efficiency
3. Renewable Energy Generation
4. Environmentally Preferred Advanced Generation
5. Energy-related Environmental Research; and
6. Energy Systems Integration.

Significant energy issues in each of the PIER program areas have been identified. The PIER program focus has been directed towards resolving these issues and meeting the overall PIER objectives of improving affordability, reliability, health and safety, California's economy, environmental outcomes, and consumer choices relevant to electricity supply and use in California.

7. What is the Scope of the PIER Buildings Energy Efficiency Program Area?

The Buildings program area includes new and existing buildings in both the residential and the non-residential sectors. The program seeks to decrease building energy use through research that will develop or improve energy efficient technologies, strategies, tools, and building performance evaluation methods.

In all R&D efforts funded through the PIER Buildings Energy Efficiency program area, maximizing market connectedness remains a common goal. The research must be focused on those technologies and building practices that are responsive to market needs or can motivate greater market demand for energy efficiency. In some instances, this may first require development of a better understanding of market performance characteristics and market motivations. For a detailed description of the criteria the Commission will use in evaluating a proposal's market connectedness, see Section III of this RFP (Evaluation Process and Criteria).

The PIER Buildings Energy Efficiency program has identified several major issues related to electricity energy use and peak demand in California buildings. The specific issue related to indoor environmental quality that is the impetus for this solicitation is described below:

Building design, construction, and operation of energy-related features can affect public health and safety.

The PIER Buildings Energy Efficiency program's first step to addressing this important issue was to better understand the building energy-related issues related to public health and safety, and identify the research needs appropriate to address with public interest funding. The PIER Buildings Energy Efficiency program co-sponsored a national planning effort to identify research and development needs in the area of indoor environmental quality (IEQ). This plan is available to download on the Commission's website at: http://www.energy.ca.gov/pier/buildings/technical_papers/ASERTTI_IEQ.PDF. This national energy-related IEQ R&D plan provided the beginning basis for the target areas of this solicitation. However, this national plan should be used only as a background reference

I. Introduction, Continued

document. The specific targets, objectives and desired outcomes for this RFP differ from the national plan and are explicitly described in Section II of this RFP (Goals and Objectives of this RFP).

8. What is the Purpose of This Request for Proposals?

The Commission is issuing this RFP to select contractors that will direct “programmatic” sets of RD&D projects in the area of energy-related indoor IEQ, under the PIER Program. This RFP contains information regarding:

- the meaning of the term “programmatic” solicitation,
- the areas of energy-related indoor environmental quality being targeted,
- the eligibility requirements and evaluation process,
- instructions for preparing proposals to be submitted by interested Bidders,
- the format in which proposals must be submitted,
- information and materials to be included in a proposal, and
- Bidder’s other responsibilities.

Please note that the information and guidance provided in this RFP are applicable only to this solicitation.

9. Who can bid on this RFP?

This is an open solicitation, and both private and public entities (including National Laboratories) are encouraged to respond to this solicitation. This solicitation is not limited to a certain group of bidders.

10. What is a “Programmatic” Solicitation?

This “programmatic” approach provides program level support for interrelated public interest energy RD&D activities. A programmatic proposal is comprised of a collection of closely linked energy RD&D projects that address specific issues or research and market needs within a single proposal. The individual projects within each awardee's program are conducted under the overall management of the awardee's program director. The program teams are comprised of technical experts, market experts and qualified administrators.

The purpose of this programmatic approach is to accelerate advancements of science and technology by uniting teams of experts who can cut across organization boundaries to resolve specific barriers confronting high priority public interest issues in the area of indoor environmental quality. In addition, this programmatic approach will employ industry expertise to apply research results into specific building energy-related markets.

Proposals must include one administrative project, one or more research projects, and one market connection project.

- Administrative Project

The tasks that make up the administrative project are defined in Attachment 8 and are the overall management of the individual projects. Each Bidder will be required to perform these tasks. Bidders must also prepare a schedule and budget for this administrative project. (See Attachment 8, Scope of Work, for additional information.)

I. Introduction, Continued

- **Research Projects**

The proposed research projects must address one or more of the targets identified in this RFP. (See Section II, Goals and Objectives of this RFP, for additional information.)

- **Market Connection Project**

The market connection project should include tasks that incorporate all of the products that result from the research projects proposed. Most of the tasks in the market connection project will vary depending upon the goals and objectives of the proposed program. However, there are a few tasks already defined in Attachment 8. Each Bidder is required to perform the pre-defined tasks as well as the proposed tasks, and prepare a schedule and budget for them. (See Attachment 8, Scope of Work, for additional information.)

11. What Areas are Targeted in this Solicitation?

Proposals submitted under this solicitation must consist of RD&D that improves IEQ while minimizing energy use by addressing the following targets:

1. Develop new or improved system designs for heating, cooling and ventilating buildings
2. Develop new recommendations for ventilation rates and improve the effectiveness of ventilation control technologies
3. Identify, develop & demonstrate technologies & strategies that enhance building system operations
4. Identify issues and develop solutions for ventilation in California homes
5. Develop solutions to microbial growth in building envelopes and HVAC systems
6. Develop guidelines on IEQ best practices for building design & operation

12. What is the Funding Level for this RFP?

Total funding for this solicitation is anticipated to be \$6M. Proposals may request no more than \$1.5M in funding. Funding requested should be a direct reflection of the level of effort proposed. Smaller proposals are encouraged when appropriate for achieving the proposed programmatic goals. Total funding requested is less important than that the projects within the program are closely linked and that they serve a well-defined market. The Commission anticipates funding several separate programmatic agreements as a result of this solicitation. No individual or organization may submit more than one proposal in response to this RFP. The Commission will award no more than one agreement under this RFP to any one organization or entity. The total amount funded may be less than the \$6M anticipated, based on proposals achieving the minimum passing score. The Commission also reserves the right to make no awards.

The Commission reserves the right to eliminate specific projects from a programmatic proposal based on the following criteria:

I. Introduction, Continued

- Project duplicates work currently funded by the Commission or others,
- Project duplicates other projects which will be receiving PIER funding,
- Project does not substantially address the identified targets,
- Project does not demonstrate significant benefits to California electric ratepayers,
- Project does not have added value when performed within the context of the programmatic proposal,
- Project is not market connected (does not demonstrate responsiveness to market needs and/or does not include participation of market partners in the research),
- Project does not address advancements to science or technology.

13. What are the Match Funding Requirements?

Match funding is considered in eligibility screening, and it is evaluated and scored as part of the technical and policy evaluation criteria. For additional information regarding match funding, see Section III, Evaluation Process and Criteria, and Section V, Proposal Format and Required Documents.

The ratio of match funding to PIER funding should reflect the ratio of private benefits to public benefits resulting from successful completion of the program. In other words, programs providing a higher percentage of private benefits and lower percentage of public benefits should contribute a higher percentage of match funds.

Programs whose results are more likely to lead to products and services that can be commercialized in the near future will generally need a higher percentage of matching funds than programs whose results are further removed in time from commercialization.

Match funding may be cash, in-kind services or a combination of the two. In-kind contributions include, but are not limited to, donated labor hours, equipment, facilities, property, and arrangements with program and project partners to bring the results of the program to the market.

Equipment, facilities (e.g. laboratory space) and most property can count as match funds as long as they are fully dedicated to the program for the time the equipment, facility or property is required by the agreement, and as long as the value of the contribution is based on documented market values or book values and is depreciated or amortized over the term of the program using standard accounting principles. Equipment, facilities and property that do not qualify as match funds include such items as standard office supplies and property or equipment that is part of the Bidder's normal business activity (desks, typewriters, telephones, computers, software, etc.).

Prior investments in the research to be conducted in this program do not qualify as match funds. Also, funding from other Commission programs or agreements does not qualify as match funding.

Budgets must show match fund contributions at the task level and aggregate them for each project and for the entire program. Match fund contributions must be spent concurrently with PIER Program funds, and only on the projects described in the proposal.

I. Introduction, Continued

PIER funds cannot be spent until the Department of General Services, Office of Legal Services (DGS-OLS) approves the Agreement which has already been signed by both the Contractor and the Commission. Match funds may be spent between the date the Commission approves the Agreement and the date the Agreement is approved by DGS-OLS subject to prior written approval by the Commission Contract Manager.

The Commission reserves the right to review and approve or disapprove the crediting of contributions and the amounts of those contributions as match funding. The loss of match funds during the Agreement is a reason for the Commission to hold a Critical Project Review and may result in the termination of the Agreement.

14. Is Equipment Purchase Allowed?

We recommend that you use your own funds as well as other sources of funds which would be considered match funds to procure and/or build equipment. If State funds are used to purchase or build equipment, the State retains ownership interest in the equipment. In order to avoid issues regarding ownership of equipment, Bidders are encouraged to not use PIER funds for equipment. (See Attachment 7, Agreement Terms and Conditions for specific requirements.)

15. What is the State's Definition of Equipment?

An item that costs more than \$5,000 and has a useful life of more than one year falls into the equipment category; if under \$5,000, it is not considered equipment and would be budgeted in the materials category. If items are purchased that have incremental costs of less than \$5,000 but when combined (the product) exceeds \$5,000, the items should be budgeted in the equipment category. If the product has been capitalized and exceeds \$5,000, it should be budgeted as equipment. Subcontractors/vendors providing equipment should be budgeted in the equipment category, not the subcontractor category. Labor associated with installation or construction of equipment is not budgeted in the equipment category. (See RFP Attachment 7, Agreement Terms and Conditions, paragraph 4. Definitions.)

16. Is Repayment Required?

There are two options under this solicitation: PIER funds will be provided (a) with royalty payment provisions; or (b) through an exemption, without royalty payment provisions. Repayment is based on royalties once the Contractor generates gross revenues, or a subcontractor generates gross revenues that are paid to the Contractor.

Except as otherwise provided in the "Royalty Exemption Option" discussed below, all parties receiving funds from this solicitation will be required to repay one and one-half percent (1½%) of the sales price of each program-related product or right for fifteen (15) years from the first date of sale, as further defined in the PIER agreement terms and conditions (RFP Attachment 7). Alternatively, there is a "Buyout Option" of two (2) times the amount of the PIER funding award, payable within two (2) years from the date royalties are first due.

The Commission, the University of California, and the U.S. Department of Energy have previously negotiated the handling of repayment requirements for PIER RD&D agreements.

I. Introduction, Continued

17. What is the Repayment Exemption?

At the discretion of the Commission, a research program may be exempted from the general royalty requirements of this solicitation if:

- The research program in question is primarily expected to produce new knowledge and/or understanding of the subject under study, rather than any commercial application of that knowledge, within the next 10 years (e.g., basic research); and
- The Bidder agrees to place all intellectual property developed from the program into the public domain.

All Bidders are required to indicate their choice of royalty funding mechanisms on RFP Attachment 2, "Application and Program Information Form," section 6. Bidders who select the box for "PIER funds without royalty provisions" must provide an explanation in the space provided.

II. Goals and Objectives of this RFP

18. About This Section

This section explains, in more detail, the specific areas of energy-related indoor environmental quality that are targeted in this solicitation. This section also describes the programmatic concept that should be implemented within the proposals. Finally, this section includes information on the electricity consumption, peak demand and building stock for California's residential and commercial sectors. These characterizations should be used by Bidders to estimate the potential impacts of the research and market actions included in the proposals.

19. Scope and Context

The Buildings Energy Efficiency program area covers energy efficiency-related topics concerning new and existing buildings in both the residential and non-residential sectors. To ensure that research results are adopted in the marketplace, this solicitation requests proposals from research teams that include manufacturers, designers, the building industry, utilities, and other energy efficiency programs. Proposals submitted should reflect knowledge of customer behavior, industry practices and, where appropriate, research should focus on specific California applications or relevance.

As mentioned earlier, the intent of this programmatic solicitation is to maximize the value of building energy RD&D efforts by supporting a program of "linked" research projects in the area of energy-related indoor environmental quality. Through this programmatic solicitation, the Commission seeks to encourage collaboration between researchers, market innovators and building industries to address the technical and market goals discussed in the Target Areas below.

20. Target Areas

Proposals submitted under this solicitation must consist of RD&D that improves IEQ while minimizing energy use by addressing the following targets. The primary building sectors addressed by each target area are identified in the parentheses:

1. Develop new or improved system designs for heating, cooling and ventilating buildings. (Commercial and Residential)

Issues

HVAC systems in most buildings are designed with inherent inefficiencies, and have poor or no control of outside air ventilation. Energy costs, maintenance costs and occupant health and comfort are not adequately considered in the design of building HVAC systems. HVAC components intended to reduce energy use and improve indoor air quality (e.g. economizers) have design and operational deficiencies.

Research & Market Needs

New or improved designs for HVAC systems that minimize life cycle costs, including first costs, maintenance costs, energy costs, and adequately considers occupant comfort and health need to be developed. Improved economizer designs that resolve current operational problems would provide large energy savings and adequate building ventilation. Building owners and occupants, as well as homeowners, need HVAC equipment and controls that cost-effectively provide persistent healthy indoor environments.

II. Goals and Objectives of this RFP, Continued

Objectives

Design, test and demonstrate new or improved HVAC components and/or systems; Focus research on unique needs of specific building types and uses (e.g. homes, schools, small retail, large offices).

Possible Outcomes

- New building, HVAC and/or control system designs developed by a team of innovative architects, engineers, scientists and manufacturers are piloted by team members in building design projects.
- Economizer problems are characterized, improved designs of economizers and/or air handling systems are developed then tested, and manufacturers pilot prototypes.
- Noise generated by HVAC equipment is attenuated in cost-effective means and demonstrated to improve indoor environments.

2. Develop new recommendations for ventilation rates and improve the effectiveness of ventilation control technologies. (Commercial)

Issues

Ventilation rates substantially influence building energy use, peak demand and IEQ. Ventilation rates in current building energy efficiency codes and standards are based on limited research findings. Ventilation design requirements for specific building types (e.g. high-density occupancies) do not optimize energy use or indoor comfort. The reliability and effectiveness of ventilation control technologies are uncertain.

Research & Market Needs

The health, comfort and energy effect of ventilation for specific building types, occupancy types, climates and HVAC system operations need to be determined. The successes and failures of existing ventilation control technologies need to be determined and current technologies need to be improved. New energy efficient technologies and strategies to provide ventilation for occupant health and comfort need to be developed and demonstrated.

Objectives

Document the health, comfort and energy effects of ventilation rates for specific building and occupancy types, climate, and HVAC system operations; Characterize and quantify the effectiveness of existing ventilation control technologies; Develop and demonstrate new or improved ventilation control technologies and strategies.

Possible Outcomes

- Recommendations are developed for ventilation design requirements to serve high-density occupancies, energy and IEQ impacts are characterized, the recommendations are piloted by design professionals and/or demonstrated in buildings, and standards changes are initiated based on the findings.
- New and improved ventilation control strategies are developed, the benefits are documented through demonstrations in buildings, then piloted in building control products by manufacturers or in operational practices by building managers.

II. Goals and Objectives of this RFP, Continued

- The effectiveness and persistence of demand-controlled ventilation technologies are characterized and manufacturers pilot control improvements.

3. Identify, develop & demonstrate technologies & strategies that enhance building system operations (Commercial)

Issues

The operation of existing buildings affects energy performance and IEQ. Various technologies and practices are currently employed in buildings to improve IEQ, but there is very little information on the costs and benefits of these approaches.

Research & Market Needs

Existing products used to mitigate or eliminate IEQ problems (e.g. ultra-violet irradiation, filtration technologies) need to be optimized and demonstrated in specific building applications, and this information needs to be packaged for building owners and operators who make key IEQ decisions. New solutions are also needed to improve the operation of building systems for optimal energy performance & IEQ.

Objectives

Develop metrics, protocols, tools & techniques to detect and diagnose IEQ problems; Identify & demonstrate technologies & practices that improve IEQ.

Possible Outcomes

- Technologies & practices for building system operation to improve IEQ are developed, then incorporated into building products and/or practices and demonstrated in California buildings
- Diagnostic tools for detecting and diagnosing HVAC system failures that deteriorate IEQ and energy performance are developed, then piloted by control manufacturers and/or building operators.

4. Identify issues and develop solutions for ventilation in California homes (Residential)

Issues

Residential IEQ is a growing concern. The operation of windows and HVAC systems, housing construction practices, as well as energy efficiency design standards affects ventilation rates. Ventilation technologies and strategies are not adequately considered in the design and construction of California homes.

Research & Market Needs

Improved ventilation rate standards are needed based on scientific characterization of existing conditions in houses, including but not limited to infiltration rates, ventilation through windows, and HVAC system duct leakage. Ventilation technologies and strategies need to be optimized for homes of different construction types, occupancy patterns and architectures, as well as in different climate regions.

II. Goals and Objectives of this RFP, Continued

Objectives

Characterize the energy-related features and operations of California homes that affect ventilation rates and compare these to the underlying assumptions in current building energy efficiency standards; Improve the ventilation effectiveness in California homes in terms energy efficiency and IEQ.

Possible Outcomes

- Improved residential ventilation standards are based on scientific field assessments of current conditions in California homes.
- Optimal ventilation technologies and practices are developed and demonstrated in partnership with California home builders.

5. Develop solutions to microbial growth in building envelopes and HVAC systems (Commercial and Residential)

Issue

Indoor microbiologic growth contributes to airborne exposures that cause health problems. Many of the moisture and mold problems in buildings stem from features that have relevance to energy efficiency, e.g. certain building materials and HVAC system components. Construction practices combined with specific climatic conditions may also inadvertently increase the potential for microbial growth within buildings.

Research & Market Needs

The conditions under which microbial growth occurs vary among building materials, systems, construction practices and locations, and these conditions are not well understood. Remediation and prevention practices and technologies need to be developed, tested, and incorporated into the design and operation of buildings. The identification of construction practices that increase the potential for microbial growth, the development of solutions to these problems, and subsequent training of construction trades are critical to improving IEQ.

Objectives

Identify the components and features of building systems that pose risk of microbiologic contamination; Develop new cost-effective materials, designs and construction practices for building systems that prevent microbiologic growth and initiate training activities to educate construction professionals.

Possible Outcomes

- New building materials & envelope designs are developed, then piloted by manufacturers and builders.
- Construction protocols that prevent microbial growth in California houses are identified then incorporated into training and education curriculum for building professionals.

II. Goals and Objectives of this RFP, Continued

6. Develop guidelines on IEQ best practices for building design & operation (Commercial and Residential)

Issue

Currently available information on improving IEQ in buildings is not adequately provided to, or assimilated by, key decision-makers in the building industry. There is not widespread access to the results of field experience with specific building products that could improve the decisions made that affect IEQ.

Research & Market Needs

There is a need to identify the decisions throughout the building life cycle that affect IEQ and building energy performance. Innovative information products must be effectively developed, then provided to building industry decision-makers to improve energy-related IEQ.

Objectives

Gather information on the pros and cons of specific IEQ-related building products through questionnaires, laboratory testing and direct field experience; Develop and field-test information products for their ability to influence key decisions that effect energy performance & IEQ.

Possible Outcomes

- New, more effective processes for disseminating information or tools to guide decisions that affect IEQ are developed and tested with active participation from key building industry decision-makers.
- A consumer reports style information product is developed to rank IEQ-related building products, then employed and evaluated by building designers, owners, and/or operators.

To maximize project linkages and ensure market success, it is anticipated that one program will address only one target area. A Bidder may propose a set of linked projects that crosscut more than one target area, however the Bidder must provide a rationale for this approach. Proposals focused on one building segment (e.g. schools, homes, small retail, large office) and/or one specific market application (e.g. improved HVAC equipment, ventilation rate standards, diagnostic tools) may be the most successful, given the level of funding and emphasis on market impacts specified for this solicitation.

21. Programmatic Concept

The intent of this solicitation is to fund coordinated R&D in IEQ that:

- Provides an opportunity for diverse experts in this field to build partnerships and move forward in a coordinated fashion, thus building upon past work, taking advantage of synergies, and avoiding unnecessary duplication; and,
- Brings together an IEQ research team that is comprised of individuals with administrative, research and market expertise to ensure that the research program is managed effectively and efficiently, and maximizes the likelihood that the research results will be adopted by the market.

II. Goals and Objectives of this RFP, Continued

Programmatic proposals should demonstrate that they include the desired attributes described in Table 1 below:

Table 1. IEQ Programmatic Proposal Concept

Note: This framework is an example model only and the proposal submitted may follow other models. For example, the actual number of research projects proposed may vary. However, a market connection project with tasks linking research results to the marketplace must be included.

Projects	Project 1 Administration (Required) Program Director	Project 2 ¹ (Optional) Problem Characterization and Data Analysis	Project 3 (Required) Research and Development	Project 4 ² (Optional) Research and Development	Project 5 (Required) Market Connection
Skills	Management, administration, and organizational expertise	Data collection and analysis expertise	Research expertise: Technical expertise in research area	Research expertise: Technical expertise in research area	Market expertise: Direct connection to market applications
Responsibility	Manage and administer program, coordinate all communications including PACs, CPRs	Develop information to inform the scope and direction of proposed technical research and development projects in the program	Conduct technical research and communicate/coordina te results with other research projects within program	Conduct technical research and communicate/coordina te results with other research projects within program	Initiate market actions to apply research results into specific market applications
Products/ outcomes	Program is on time, on schedule, on budget, well coordinated within the team, and products are high quality	Technically sound and market relevant research that is coordinated within the program. Appropriate researchers that cross institutional boundaries to bring the most qualified researchers together. Examples products may include, but not be limited, to the following: <ul style="list-style-type: none">• Design guidelines that are piloted by designers• Changes initiated in standards• New HVAC system designs that are piloted by manufacturers• New recommended ventilation standards initiated through ventilation standards process• Best practice guidelines piloted by designers• New IAQ decision tools piloted by appropriate decision makers• Improved IAQ sensing and measuring instruments piloted by potential customers			
	Appropriate researchers and other team members that cross-institutional boundaries to bring the most qualified researchers, administrators, and market actors together to produce technically sound products applied in the marketplace.				

¹ A problem characterization/data analysis project may or may not be included in the proposal. However, if a project is proposed in this area, it must directly link to research projects proposed or market connection tasks.

² A minimum of one research project must be included. However, there is no limit on the number of research projects included in the proposal and the actual number will vary depending on the size and complexity of the projects. All projects must demonstrate increased leveraged value from grouping in a programmatic proposal rather than as individual projects and must contribute to meeting the overall program goals.

II. Goals and Objectives of this RFP, Continued

22. Characterization of California's Building Sectors

The following tables characterize the California residential and commercial electricity market. These tables provide a basis for Bidders to estimate the potential impact associated with successful completion of their proposed research program. Because the energy data is derived from different years, it is more useful for considering relative weights of market impacts rather than for developing "absolute" results.

The Commission expects that Bidders "temper" their market impact estimations with realistic assumptions about how long it takes to achieve market penetration as it relates to construction activity and the market connection challenges faced by all technology transfer efforts. Bidders should also discuss the potential for competing technologies and account for these in their discussion of market impacts assumed for the proposed research efforts. Bidders must include an estimation of the electricity use impacts from the proposed research using the data in the following tables. The methodology that the Bidder must use to estimate these market impacts is included in Section V, Proposal Format and Required Documents, Paragraph 54, What is Required in Volume 2 - Technical and Cost Information, Subsection 2, Program Description.

Table 2 provides statewide residential electricity peak demand (YR1999) and consumption (YR2000) data for major end use categories, combined for all housing types.

Tables 3 and 4 list total square footage by commercial building occupancy type, and detailed commercial electricity consumption and demand intensity per square foot by end use for each building occupancy type.

Table 2 - California Electricity Consumption & Peak Demand by End Use

Residential Sector End Uses	Peak Demand*		Annual Energy**	
	MW	% of Total MW	Total Energy (GWh/Year)	% of Total Energy
Lighting***	3,055	17.74%	21,737	28.0%
Appliances	5,910	34.32%	39,378	50.7%
HVAC	7,475	43.41%	9,610	12.4%
Other	781	4.54%	6,909	8.9%
Total	17,221	100.00%	77,633	100.0%

Total Homes**	11,362,903
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Notes:

* Year 1999 Data

** Year 2000 Data

*** Lighting Demand Data Includes Miscellaneous

Table 3 – California Commercial Electricity Consumption Intensity per End Use by Building Occupancy Type (kWh/sf-year)

Commercial Occupancy Types	Floor Area (Millions SF)	Ventilation (kWh/sf-yr)	Cooling (kWh/sf-yr)	Heating (kWh/sf-yr)	Indoor Lighting (kWh/sf-yr)	Office Equipment (kWh/sf-yr)	Outdoor Lighting (kWh/sf-yr)	Cooking (kWh/sf-yr)	Refrigeration (kWh/sf-yr)	Water Heating (kWh/sf-yr)	Miscellaneous (kWh/sf-yr)	Total Energy Intensity (kWh/sf-yr)
Large Offices	1,024.28	2.98	4.17	0.45	9.08	0.77	1.16	0.02	0.02	0.07	3.86	22.59
Small Offices	361.03	0.79	2.52	0.17	4.63	0.79	1.35	0.01	0.04	0.05	3.38	13.74
Restaurants	145.17	5.08	4.42	0.45	7.27	0.03	3.25	2.90	8.28	0.10	9.28	41.05
Retail	882.35	1.04	1.40	0.10	5.59	0.09	1.04	0.02	0.19	0.03	1.60	11.11
Food Stores	230.52	3.14	2.54	0.33	11.67	0.08	1.67	0.11	17.46	0.09	8.34	45.41
Warehouses	787.43	0.48	0.35	0.13	2.67	0.04	0.29	0.00	0.84	0.01	3.36	8.17
Schools	457.47	0.76	0.74	0.24	2.95	0.07	0.81	0.06	0.12	0.17	0.47	6.40
Colleges	270.13	1.60	2.35	0.79	3.09	0.18	0.21	0.07	0.31	0.32	1.47	10.39
Hospital/Healthcare	278.57	2.80	8.53	0.73	10.71	0.80	0.36	0.12	0.33	0.38	13.65	38.40
Hotels/ Motels	270.87	0.90	2.35	1.97	3.41	0.02	0.50	0.10	0.89	0.10	2.35	12.58
Miscellaneous	992.52	1.44	2.37	0.31	2.92	0.17	0.78	0.01	0.10	0.08	3.07	11.25
Total	5,700.34	1.64	2.50	0.39	5.39	0.30	0.90	0.11	1.17	0.09	3.61	16.10

Table 4 – California Commercial Electricity Demand Intensity per End Use by Building Occupancy Type (W/sf)

Commercial Occupancy Types	Floor Area (Millions SF)	Ventilation (W/sf)	Cooling (W/sf)	Heating (W/sf)	Indoor Lighting (W/sf)	Office Equipment (W/sf)	Outdoor Lighting (W/sf)	Cooking (W/sf)	Refrigeration (W/sf)	Water Heating (W/sf)	Miscellaneous (W/sf)	Total Demand Intensity (W/sf)
Large Offices	1,024.28	0.56	2.75	0.00	2.14	0.13	0.01	0.00	0.00	0.00	0.65	6.25
Small Offices	361.03	0.15	1.66	0.00	1.09	0.10	0.01	0.00	0.01	0.00	0.57	3.59
Restaurants	145.17	0.92	1.59	0.00	1.17	0.01	0.04	0.00	1.13	0.00	1.55	6.40
Retail	882.35	0.22	0.74	0.00	1.12	0.02	0.01	0.00	0.03	0.00	0.27	2.40
Food Stores	230.52	0.40	0.95	0.00	1.70	0.01	0.02	0.00	2.39	0.00	1.17	6.64
Warehouses	787.43	0.10	0.18	0.00	0.56	0.01	0.00	0.00	0.12	0.00	0.57	1.53
Schools	457.47	0.17	0.61	0.00	0.57	0.01	0.00	0.00	0.02	0.00	0.07	1.45
Colleges	270.13	0.27	1.47	0.00	0.48	0.02	0.00	0.00	0.04	0.00	0.14	2.42
Hospital/Healthcare	278.57	0.52	4.86	0.00	2.05	0.12	0.00	0.00	0.04	0.00	2.04	9.64
Hotels/ Motels	270.87	0.12	1.66	0.00	0.56	0.00	0.00	0.00	0.11	0.00	0.34	2.80
Miscellaneous	992.52	0.23	1.36	0.00	0.44	0.02	0.01	0.00	0.01	0.00	0.45	2.52
Total	5,700.34	0.30	1.49	0.00	1.08	0.05	0.01	0.00	0.16	0.00	0.56	3.64

III. Evaluation Process and Criteria

23. About This Section

This section explains the overall evaluation process and the technical and policy evaluation criteria. It describes how the proposals will be evaluated for completeness, eligibility and fundamental scientific feasibility. It also describes the evaluation stages, preference points, and scoring of all proposals.

The entire evaluation process from receipt of proposals to the posting of the Notice of Proposed Award is confidential.

A Bidder's proposal will be evaluated and scored based on its response to the information requested in this RFP. During the evaluation and selection process, Commission staff, in their sole discretion, may interview a Bidder either by telephone or in person at the Commission, and/or conduct a site visit at the Bidder's facilities for the purpose of clarification and verification of information provided in the proposal. However, these interviews may not be used to change or add to the contents of the original proposal.

24. Proposal Screening Process

Administrative, Completeness, Eligibility, and Feasibility Screening

All proposals will be initially screened for compliance with administrative requirements, completeness, eligibility, and fundamental scientific feasibility. Proposals that fail the administrative, completeness, eligibility, or feasibility screening will not be evaluated further under this RFP.

A. Administrative Screening

If your proposal fails any of these items, it will be rejected immediately.

1. The proposal must be received at the California Energy Commission Contracts Office by the time and date indicated in Section I.
2. The proposal must not be marked confidential in its entirety. Proposals that are marked confidential in their entirety will be rejected from further evaluation under this solicitation.
3. The proposal must document legal compliance with either the "participation" or "good faith efforts" required pursuant to the Disabled Veteran Owned Business Enterprises (DVBE) program. Proposals not documenting compliance with the DVBE program will be rejected from further evaluation under this solicitation.
4. The proposal must not have costs, cost bids, or rates marked as confidential.

B. Completeness Screening

A proposal must include the contents described in RFP Section V of this RFP or the proposal will fail the completeness screening and will be rejected prior to the technical evaluations. In particular, proposals will be screened for completeness on the basis of whether or not the proposal contains sufficient information to enable a useful evaluation to be conducted.

III. Evaluation Process and Criteria, Continued

C. Eligibility Screening

To be eligible for possible funding under this solicitation, proposals must meet all of the following eligibility criteria. Proposals that fail the eligibility screening will not be evaluated further under this RFP.

Target Areas Addressed

The program proposed must specifically address one or more of the six target areas identified in this RFP. The proposal must specifically address how the marketplace will be able to use the results of the research.

Programmatic Proposal – Research Project Linkages

Each proposal must be a programmatic proposal with an identified Program Director, which includes multiple, linked projects. Individual proposals that request funding for single projects are not eligible for this solicitation, and will be rejected from further evaluation. The Commission and its staff reserve the unfettered discretion to determine whether a proposal is for a “program” (and therefore eligible for this solicitation) or a “project” (and therefore not eligible for this solicitation). See Section IV for a listing of definitions.

Program Connection to the Market

The program proposal must identify why the research is responsive to the needs of the market and identify the audience for the research results. The proposed program must also identify how it will involve market participants to initiate the adoption of research results.

Program Need – Advancement of Science and Technology

The proposal must provide a clear and convincing explanation of why PIER funding is appropriate and needed for the proposed activities. Specifically, the Bidder must discuss each research project’s current status, and describe what science or technology advancement they will achieve that is inadequately addressed by the competitive or regulated markets, and what technical or market barriers they will resolve.

Impacts and Benefits for California

The proposed program must provide clearly identified benefits to California’s electricity ratepayers in the area of energy and indoor environmental quality. The proposal must contain a clear and understandable description and estimated public benefits that the Bidder anticipates will result from the proposed program. The proposal must provide quantitative baseline conditions and expected market impacts for each research or market connection project included in the program. There must be a clear and convincing explanation of how the market impacts can be measured to gauge success in meeting the goals and objectives stated for the projects, and the program.

Program Director and Program Team

An overall Program Director with experience in managing large research programs must lead the proposed program. In addition, the proposal must clearly identify the people making up the program team, their individual responsibilities in conducting the management and research for each project, and their skills and experience in project

III. Evaluation Process and Criteria, Continued

management and the scientific and/or technical area(s) being addressed. The program team must consist of a collaboration of diverse institutions including research entities, private firms, and industry participants (e.g. builders, manufacturers, designers, building operators, and other market customers). The proposal must clearly describe the communication, project tracking and budget management techniques the leaders will use to manage program work efforts. Bidders must also describe the steps the Project Director will take to engage and facilitate a Program Advisory Committee to enable it to function effectively to aid program direction and market connection activities.

Program Funding and Match Funding

Each proposal must contain a budget that identifies:

- the total, project and task level amounts of PIER funding requested,
- the total, project and task level amounts of match funds to be provided,
- the total amount of the program, including both PIER and match funds,
- the proposed expenditures by cost category for each task,
- the hourly rates and fringe benefits of personnel who will be working on this program,
- the calculation and description of fringe benefits, overhead, general administrative expenses, and profit rates,
- the supporting documentation for pre-approved travel, equipment, materials, and miscellaneous expenditures,
- how the PIER funds will be expended during the agreement in relationship to the milestones and overall products to be developed during the agreement.

The proposed PIER budget must be commensurate with the level of work proposed and must be no more than \$1.5 million.

D. Feasibility Screening

Proposals will be evaluated for fundamental feasibility on the basis of whether the proposed program appears to comply with known scientific principles, and if not, whether the proposal contains a sufficiently sound explanation to justify proceeding with a further evaluation. Proposals that fail the feasibility screening will not be evaluated further under this RFP.

25. How Will Proposals be Scored?

Overview of the Evaluation Scoring Process

All proposals that pass the Completeness, Eligibility and Feasibility Screening will be further evaluated and scored for merit. The Commission may use Commission staff, staff of other agencies, private consultants or other designated representatives of the State to evaluate the proposals. All proposal evaluators and scorers will keep the contents of the proposals confidential. Both the technical and policy merits of each proposal will be evaluated.

A Commission Scoring Committee shall consist of Commission employees. The Scoring Committee will evaluate and score proposals according to the evaluation criteria below. Eligible proposals will be ranked in descending order based upon total score. All proposals receiving a weighted score of seventy (70) points or more will be considered for possible

III. Evaluation Process and Criteria, Continued

funding. The Commission's RD&D Policy Committee will recommend how far down the ranked list of proposals scoring seventy (70) points or higher that will receive awards. Those receiving less than seventy (70) points will no longer be considered and are not eligible for funding. The Committee's recommendations are presented at a Commission Business Meeting and can be approved as recommended, or the Commission can adjust the cut-off lines higher or lower in the ranking.

Program proposals above the Commission's adopted cut-off line cannot be "skipped-over" for funding. That is, a program proposal with a higher score cannot be rejected while a program proposal with a lower score is funded. Program proposals that fall below the Commission's adopted cut-off line will not be funded at this time.

If a successful Bidder decides to withdraw a proposal, or if a Bidder will not sign a proposed agreement within the allotted time, the proposal can be disqualified from this award and the next highest-ranked proposal may be funded instead.

The Scoring Committee will give a score from zero to four for each criterion described below, based upon the information provided by the Bidder's proposal. Each score will then be multiplied by a weighting factor to obtain the total points for that criterion. Scores will be assigned in accordance with the following guidelines:

Score	Proposal Response
0	Not responsive to the criterion
1	Response is minimal to relevant considerations under the criterion
2	Responds partially to relevant considerations under the criterion
3	Responds Satisfactorily to all relevant considerations under the criterion
4	Responds completely, accurately and convincingly to all relevant considerations under the criterion

26. What are the Technical and Policy Evaluation Criteria?

All proposals that pass the Completeness, Eligibility and Feasibility screening will be evaluated for merit based on the following technical and policy evaluation criteria:

1. Programmatic Proposal – Research Project Linkages

(Weighting factor: 3; Maximum Weighted Score: 12; Maximum Cost Points: 2)

The extent to which the proposal demonstrates that:

- a. The research projects have significantly greater value when conducted together under a single research program than if they were conducted separately as independent projects;

III. Evaluation Process and Criteria, Continued

- b. Specific linkages between projects have been identified and the proposal identifies specific actions that will be taken to facilitate program linkages and maximize the research value; and,
- c. Diverse experts crossing institutional boundaries have been brought together to form partnerships, building upon past work of the individual researchers, where appropriate.

2. Program Connection to the Market

(Weighting factor: 5; Maximum Weighted Score: 20)

The extent to which:

- a. The research proposed is based upon a market pull as evidenced by specific market research, surveys and the Bidder's assessment of market drivers;
- b. The program includes appropriate market actions to initiate transfer of research results into the marketplace and team members from industry that are qualified and committed to successfully transferring the products to the marketplace; and,
- c. The proposal includes a preliminary commitment from individuals appropriate for providing input on the market relevance of the research and opportunities for transferring the research results to the marketplace to serve on a program advisory committee.

3. Program Need – Advances Science or Technology Not Adequately Addressed by Competitive or Regulated Markets

(Weighting factor: 2; Maximum Weighted Score: 8; Maximum Cost Points: 8)

The extent to which the proposal:

- a. Identifies the current status of the proposed research, including production readiness issues as appropriate and makes a case for the need for additional research. Bidders are expected to discuss recent related RD&D efforts in the area of indoor environmental quality, and how this proposal will build upon or expand the current knowledge base;
- b. Responds to why the program objectives will not be adequately addressed by the competitive or regulated markets; and,
- c. Discusses why PIER funding is necessary to advance the proposed science and/or technology.

III. Evaluation Process and Criteria, Continued

4. Impact and Benefits for California

(Weighting factor: 2; Maximum Weighted Score: 8)

The extent to which:

- a. The proposed program will provide benefits to California's electricity ratepayers in the area of indoor environmental quality and building energy performance. Include explanations of how the proposed program will impact specific building segments (e.g. schools, homes) in California and how California-specific building processes (e.g. building energy efficiency standards) will benefit from the proposed research
- b. The proposal documents and quantifies the baseline conditions of appropriate technologies as well as specific building markets. These baseline conditions will be used in measuring the success or potential success in achieving technical, economic, and performance goals; and,
- c. The proposal identifies quantitative market impacts for the research projects, corresponding to changes in the documented baseline conditions. The proposals should identify the market for the research results, quantify the size of the market, the expected impact on the market if the research is successful, and justifies the reasonableness of the assumptions. These projections should look beyond the research contract term to estimate building market impacts.

5. Program Director and Program Team

(Weighting factor: 2; Maximum Weighted Score: 8)

The extent to which:

- a. The Program Director has specific organizational, administrative, and team lead skills and a proven track record for managing buildings research programs successfully including capability in administering the contract to control costs, maintaining the program schedule, providing quality control of the deliverables produced by the team, and communicating effectively;
- b. The structure of the team provides clear roles and responsibilities among the team members and clear lines of communications are in place to ensure that the responsibilities are successfully met and that supports the sharing of information between program projects;
- c. The team has the technical experience and proven skills in the specific technical research area being proposed; and
- d. The team has the experience, skills, and connections to the marketplace to help ensure market transfer of the products and knowledge that result from the program.

III. Evaluation Process and Criteria, Continued

6. Program Funding and Match Funding

(Weighting factor: 3; Maximum Weighted Score: 12; Maximum Cost Points: 12)

The extent to which:

- a. The PIER funds requested are appropriate, relative to the goals and objectives of the program;
- b. The PIER funds requested are commensurate with the value of public benefits not adequately addressed by regulated or competitive markets which the program will provide;
- c. The portion of the budget dedicated to research and market actions are significantly greater than the administrative costs;
- d. The match funds are proportional to the ratio of private benefits compared to public benefits of the proposal and the match funds benefit the program goals;
- e. The proposed match funds reflect a commitment by the building industry partners to transfer the program research results to the marketplace; and
- f. The program will be completed successfully even if the proposed match funds are significantly reduced or lost.

7. Program Scope of Work

(Weighting factor: 6; Maximum Weighted Score: 24)

The extent to which:

- a. The scope of work includes a plausible overall program goal that addresses the key issues and responds to the research and market needs identified in one or more of this RFP's IEQ target areas;
- b. The proposal demonstrates a clear, appropriate and complete plan for achieving the identified administrative, research and market goals and objectives of the program;
- c. The work schedule is logical and reasonably sequences tasks, and allocates time, labor, equipment and facilities per task;

III. Evaluation Process and Criteria, Continued

- d. The proposal contains a well defined set of intermediate deliverables and final products that will be delivered and defines a specific market connection for each of the proposed products;
- e. The proposal includes a clear and methodical plan by which the Program Director will coordinate the reporting of information to all contract team members and stakeholders, including the Commission, the PAC, business partners, the building science and research community, and the marketplace;
- f. The proposal includes a clear and methodical plan that will enable the PAC to improve the proposed research quality and the market penetration rate for the research results. Potential members of the PAC have been identified and a preliminary schedule for PAC meetings is included; and,
- g. The proposal systematically identifies and assesses risks, and includes plans for mitigating these risks. The proposal describes clear and complete contingency plans that are appropriate for the risks identified.

8. Program Budget

(Weighting factor: 2; Maximum Weighted Score: 8; Maximum Cost Points: 8)

The extent to which:

- a. The program budget information provided is consistent with the scope of work and itemizes reasonable costs for personnel, subcontractors, equipment, operating expenses, fees, etc., for each task;
- b. Budgets indicate the total budget, the PIER reimbursable budget, and the matching funds budget, indicating all sources of funding, for each task described in the scope of work;
- c. Budgets are itemized in sufficient detail to justify the expenditures by task. The budgets include the required information for personal services, subcontractors, operating expenses, fees, and total expenditures; and
- d. The budget shows that key personnel and subcontractors will be committed to the project for the appropriate number of hours and functions to accomplish the activities described in the work statement.

Summary of All Evaluation Scores

- Weighting Factor Totals: 25
- Total Possible Points: 100
- Total Possible Cost Points: 30

III. Evaluation Process and Criteria, Continued

- Minimum Passing Score: 70

27. Are There Non-Technical Preference Points?

A Bidder may qualify for up to four categories of preference points. Each qualifying Bidder with a score of 70 points or greater will receive the applicable preference points for each applicable category. The sum of the Bidder's evaluation score and preference points will constitute the Bidder's total score. Proposals will be ranked based upon the Bidder's total score. Forms submitted for preference points must be included in Volume 1.

1. Small Business

Bidders who qualify as a State of California certified small business or who self-certify under the Federal Government statutes as a small business will receive five percent (5%) preference points based on the cost points received by the highest scored proposal, if the highest scored proposal is submitted by a business other than a certified small business. Instructions for becoming certified by the State of California as a small or disabled veteran owned business is contained in RFP Attachment 5.0.

2. Target Area Contract Preference Request

The Target Area Contract Preference Act (Government Code Section 4530 *et seq.*) provides five percent (5%) preference points to California-based companies that perform state contract work in a distressed area. Bidders should complete RFP Attachment 5.1 if they qualify for this preference. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

3. Enterprise Zone Request

The Enterprise Zone Act (Government Code Section 7070, *et seq.*) provides preference points as an incentive for business and job development in distressed and declining areas of the State. Bidders should review RFP Attachment 5.2 to determine if they qualify for this incentive. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

4. Local Agency Military Base Recovery Act

The Local Agency Military Base Recovery Act (LAMBRA, Government Code Section 7118, *et seq.*) provides five percent (5%) preference points to California-based companies that perform State contract work in the LAMBRA. Bidders should review RFP Attachment 5.3 to determine if they qualify for this preference. If you have further questions or need additional information on this matter, please contact TACPA/LAMBRA Preference Program Group at (916) 375-4609.

IV. Administrative Information

28. About This Section

This section provides Bidders with information on submitting a successful proposal, definitions of important terms, sources of information, how to submit a proposal, confidential information, grounds for rejecting a proposal, and other administrative details. Every technical proposal must establish in writing the Bidder's ability to perform the RFP tasks listed in the Scope of Work.

29. Is there a Deadline For Submitting a Proposal to this RFP?

Yes. All copies of your proposal must be delivered to the Commission Contracts Office during normal business hours and **prior** to the date and time specified in Section I. In accordance with Public Contract Code 10344, proposals received after the specified date and time are considered late and will not be accepted. There are no exceptions to this law.

30. How Should a Proposal be Packaged and Labeled for Submittal?

Bidders must submit the original and 10 paper copies of each volume, including if submitted, the confidential information. The original and copies of each volume must be labeled "Request for Proposal 500-02-501," and include the title of the proposal and the appropriate volume number:

- "Volume 1 – Administrative Section"
- "Volume 2 – Technical and Cost Sections"
- "Volume 3 – Confidential Information"

31. Is There a Preferred Method for Delivery of the Proposal?

A Bidder may deliver a proposal by:

- U. S. Mail
- Personally
- Courier service

Postmark dates of mailing, E-mail and facsimile (FAX) transmissions are not acceptable in whole or in part under any circumstances.

32. What is the Address for Delivery of Proposals?

Label and deliver your proposal, in a sealed package, as follows:

Person's Name, Phone #	
Bidder's Name	
Street Address	
City, State, Zip Code	
FAX #	
	RFP 500-02-501
	Contracts Office, MS-18
	California Energy Commission
	1516 - 9th Street, 1st Floor
	Sacramento, CA 95814

IV. Administrative Information, Continued

33. How is Confidential Information Treated?

From the beginning of the solicitation process until the evaluation is complete and the Notice of Proposed awards is posted or the RFP is cancelled, the Commission is required to hold all information received from Bidders as confidential. However, proposals and all submittals will become public records after the Commission completes the evaluation and/or scoring process and the Notice of Proposed Awards is posted or the RFP is cancelled.

After the posting of awards,

- confidential materials submitted by unsuccessful Bidders will be destroyed and/or returned. The Commission will not retain confidential submittals from unsuccessful Bidders.
- confidential materials submitted by successful Bidders will be kept confidential, pending incorporation of confidentiality determination as part of the subsequent PIER agreement as appropriate.

A complete application for confidentiality pursuant to Title 20, California Code of Regulations, sections 2505(a) and 2505(c)(2)(A) may be required prior to DGS approval of the agreement at the option of the Commission. These confidentiality specifications and procedures are issued in accordance with Title 20, California Code of Regulations, section 2505(c)(2)(A).

34. What Types of Information Are Considered Confidential?

Consistent with its confidentiality regulations, and the California Public Records Act (Government Code Section 6250 et. seq.), the Commission generally will grant confidential treatment for information that is essential to understanding the proposal, clarifies the status of technology prior to agreement work, or will be an agreement deliverable. Examples include:

- Any information that is patent pending (until a patent has been approved), including patent application numbers
- Technical trade secrets (e.g., detailed technical drawings)
- Marketing/business trade secrets (e.g., energy use data for an individual commercial or industrial facility, pending strategic partnerships with manufacturers)
- Economic/financial trade secrets (e.g., income tax records).

Conversely, the Commission will not allow confidential treatment for certain other types of information. Bidders are cautioned against seeking confidentiality for the following types of information:

- Project descriptions/scope of work (including task descriptions, schedule of deliverables and due dates)
- Proposed project budgets (PIER and match fund), including labor rates, overhead, direct labor, other direct costs, profit, and the like.
- Disabled Veterans Business Enterprise information

IV. Administrative Information, Continued

- Names of employees, subcontractors and match fund participants
- Test plans and reports
- Progress reports
- Final reports.

The Commission will allow technical and business trade secrets to be reported in separate confidential addenda to test reports and final reports.

35. Are There Important Administrative Details I Should Know?

Disabled Veteran Business Enterprises

This contract is subject to a participation goal of three percent (3%) for certified California Disabled Veteran Business Enterprises as set forth in Public Contract Code Sections 10115, et seq. Refer to, RFP Attachments 4.1 – 4.3.

Bidders must provide DVBE qualifications, experience and duties to be performed under the Scope of Work. Bidders shall provide DVBE project detail participation in the same manner as other subcontractors, including work descriptions, staffing and budget information.

Small Business Preference

Government Code Sections 14835, et seq., requires that a five percent (5%) preference be given to any Bidder who is certified by the State of California as a small business. A Bidder who claims this preference may include a copy of its approved certification form in the Bidder's proposal.

Under this RFP, Bidders may also qualify for the small business points under the Federal Government small business self-certification process.

36. Will the Commission Reimburse the Cost of Preparing a Proposal?

No. The Bidder is responsible for the cost of developing a proposal, and this cost cannot be charged to the State or the Commission.

37. Can the Commission Impose Conditions or Limits on Awards?

Yes. The Commission reserves the right to condition, modify or otherwise limit any and all PIER funding awards made pursuant to this RFP.

38. Can the Commission Cancel or Amend This RFP?

Yes, if it is in the State's best interest. It is the policy of the Commission not to solicit proposals unless there is a bona fide intention to award an agreement. The Commission reserves the right to do any of the following:

- Cancel this RFP
- Amend or revise this RFP as needed; or
- Reject any or all proposals received in response to this RFP.

IV. Administrative Information, Continued

39. How will I know if the RFP is Revised?

If the RFP is changed or revised, the Commission will prepare and mail a formal written addendum to all parties who requested a copy of the RFP from the Commission's Contracts Office. In addition, the addendum will be posted on the Commission's Web Site: www.energy.ca.gov/contracts and Department of General Services' Web Site: www.cscr.dgs.ca.gov/cscr. The RFP cannot be revised after proposal due date.

40. What If I Find an Error in this RFP Document?

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in the RFP, the Bidder shall immediately notify the Commission's Contracts Office of such error in writing and request modification or clarification of the document. Clarifications will be given by written notice of all parties who have obtained an RFP, without divulging the source of the request for clarification. The Commission shall not be responsible for failure to correct errors.

41. Generally, What are the Agreement Requirements?

Term of the Agreement

We estimate that the agreement(s) will begin in July 2003. The term of the proposed programmatic work should be for no longer than three (3) years, and it should be shorter if possible.

Agreement Terms and Conditions

Standard Agreement Terms and Conditions are included in this solicitation (Section VI, RFP Attachment 7, Terms and Conditions). It is the intention of the Commission to use these Standard Terms and Conditions in all agreements awarded as a result of this solicitation. The format of the signed agreement will change, but the terms will remain the same. The content of this RFP and the Bidder's proposal will be incorporated by reference into the final agreement.

No exceptions to the Terms and Conditions will be considered. Therefore, the Commission recommends that both the Bidder and its subcontractors carefully review, including legal counsel, the agreement terms and conditions before deciding to submit a proposal.

Agreement Cancellation

The Commission reserves the right to terminate any agreement awarded through this RFP by providing a 30 day notice to the successful Bidder.

No Agreement Until Signatures and Approvals are in Place

The proposed agreement between the Commission and the successful Bidder is not in effect until the agreement is signed by all of the parties, which includes approval at a Commission Business Meeting, Bidder signature, Energy Commission signature, and approval by DGS-OLS.

Agreement Amendment

An agreement executed as a result of this RFP can be amended by mutual consent of the Commission and the Contractor.

IV. Administrative Information, Continued

Audit

The Bureau of State Audits may audit an agreement awarded under this RFP up to a period of three years after the final payment or termination of the agreement.

Subcontractors

The Bidder must submit the information required in the Program Team Section of the proposal for all Key Subcontractors (those who are budgeted for 25% of the total award or \$100,000, whichever is less, or are a DVBE subcontractor). The Bidder must also submit budget pages and supporting documentation for all Key Subcontractors.

The Contractor is responsible for the quality of all subcontractor work, and may only replace Key Subcontractors as specified under the Agreement Terms and Conditions.

Universities

Separate terms and conditions have been negotiated with the University of California (UC). Any UC campus can use these Commission-approved terms in either the role of prime contractor or subcontractor. In the event that a prime award is made to a UC campus, the Commission may choose to make the award as a work authorization within the Commission UC Research Agreement, agreement number 500-02-004. The terms and conditions are available by contacting the Commission Contracts Officer.

Department of Energy (DOE) Laboratories (Labs)

Separate terms and conditions have been negotiated with DOE for its national labs. DOE labs can use these DOE and Commission-approved terms in either the role of prime contractor or subcontractor. These terms and conditions can be found at www.eren.doe.gov/eere/stateagreements.

42. What If I Decide To Modify Or Withdraw My Proposal?

Withdrawal/Modification

A Bidder may, by letter to the Contracts Officer, withdraw or modify a submitted proposal before the proposal deadline (due date and time) in the RFP Schedule. Proposals cannot be modified or withdrawn after that date and time.

Immaterial Defect

The Commission may waive any immaterial defect or deviation contained in a Bidder's proposal. The Commission's waiver shall in no way modify the proposal or excuse the successful Bidder from full compliance.

43. How Will I Know If I Have Been Awarded An Agreement?

A Notice of Proposed Awards (NOPA) will be posted for five (5) working days at the Commission's headquarters in Sacramento, and on the Commission's and the DGS' web site. In addition, each Bidder will be mailed a copy of the NOPA.

Upon completion of the five (5) day notice period, agreement documents will be prepared and sent to successful Bidders for their signatures. The Commission will not consider any substantive changes to the agreement "terms and conditions" contained in this RFP. If, for any reason, a successful Bidder does not sign the agreement documents within a reasonable

IV. Administrative Information, Continued

time, the Commission may eliminate that program from its award list and select the next highest ranked program for funding.

After the awarded Bidders have signed the agreement documents, the Commission will consider final approval of each agreement at a publicly noticed Commission Business Meeting. The Commission at that time may approve more than one agreement.

44. What are the Grounds for Rejection?

A proposal **will be rejected** if any of the following occurs:

- The proposal is not received by the time and date set for receipt of proposal listed in the RFP Schedule Section 1 (Public Contract Code, Section 10344(a)).
- The entire proposal is labeled as confidential.
- The proposal is considered non-responsive to the Disabled Veteran Business Enterprise program requirements.

A proposal **may be rejected** if:

- It does not contain a properly executed Certification Clauses Package (see Attachment 3).
- The proposal does not meet administrative, completeness, eligibility, or feasibility screening criteria.
- It contains false or misleading statements or references which do not support an attribute or condition contended by the Bidder.
- The proposal does not comply with or contains caveats that conflict with this solicitation.
- There is a conflict of interest as contained in Public Contract Code Sections 10410, 10411 and 10365.5.
- The proposal is unsigned.
- The Bidder submits more than one proposal in response to this RFP.
- The proposal is not prepared in the required format described herein.
- The Bidder seeks to have costs treated as confidential.

45. What Happens If My Proposal Is Unsuccessful?

After the NOPA is posted, each unsuccessful Bidder may request a debriefing meeting with the Commission Contracts Office. The debriefing meeting is an opportunity for an unsuccessful Bidder to learn why their particular proposal was not successful and may provide insight to improving proposal preparation for future solicitations.

46. What If I Want To Protest The Awards?

A Bidder may file a protest against the proposed awarding of an agreement. Once a protest has been filed, agreements will not be awarded until either the protest is withdrawn or DGS decides the matter. Alternatively, the RFP may be cancelled with no awards being made.

Please note the following:

- Protests are limited to the grounds contained in the California Public Contract Code Section 10345.

IV. Administrative Information, Continued

- During the five working days that the NOPA is posted, protests must be filed with the DGS Legal Office and the Commission Contracts Office.
- Within five days after filing the protest, the protesting Bidder must file with the DGS and the Commission Contracts Office a full and complete written statement specifying the grounds for the protest.
- If the protest is not withdrawn or the solicitation is not canceled, DGS will decide the matter. There may be a formal hearing conducted by a DGS hearing officer or there may be briefs prepared by the Bidder and the Commission for the DGS hearing officer consideration.

47. What Happens To My Proposal Documents?

On the Notice of Proposed Award date, all proposals and related material submitted in response to this RFP become the property of the State and a part of the public record, unless the Bidder has submitted an application for confidentiality.

Confidential documents submitted by unsuccessful Bidders will be returned to the Bidder or destroyed by the Commission. Contractor identified and Commission designated confidential documents will be filed separately from the rest of the proposal and agreement documents. Only authorized persons will have access to these designated confidential documents.

48. Key Words and Their Definitions

Agreement: The agreement signed by the Bidder and the Commission, and approved by the California Department of General Services. An agreement is defined in the Public Contracts Code as an agreement or joint development agreement to provide labor, services, material, supplies, or equipment in the performance of an agreement awarded for or on behalf of the State of California.

Agreement budget: The proposed Commission-reimbursable expenditures AND the Contractor's match fund expenditures for that portion of the program covered by the agreement term.

Agreement term: The start and end dates stated in the agreement between the Commission and the Contractor. The program may be shorter than, coincide with, or extend beyond, the agreement term. However, all Commission reimbursed and matched activities must occur during the agreement term.

Application: How a technology, once it is developed, is used to achieve a desired result or objective.

Baseline condition: The current market condition that the proposed research is intended to impact. A current quantitative snapshot of the technical research proposed and the building market segment potentially affected by the research products to be developed.

Bidder: Organization submitting a proposal to this RFP.

IV. Administrative Information, Continued

Commission: California Energy Commission.

Contractor: A Bidder, after an agreement with the Commission has been signed and approved.

Cost points: The portion of the proposal evaluation dedicated to budgetary and program funding criteria.

Decision maker: For the purposes of this RFP, a participant in the building industry who is in a position to make key decisions that affect building energy performance and indoor environmental quality.

Deliverable: Deliverables are products that incorporate the knowledge and understanding gained by performing the activities and that are submitted to the Commission for review, comment and approval.

Demonstration: Showing the operation or working of a commercial configuration of a product or process.

Development: Advancing technological progress towards a final product or process.

DGS: State of California, Department of General Services.

End use: A category of energy consuming equipment and systems that provide a specific building function (e.g. lighting, heating, cooling, ventilation).

Equipment: An item or group of items having a useful life of at least one year, having an acquisition unit cost of at least \$5,000, and purchased with Commission funds. *Equipment* means any products, objects, machinery, apparatus, implements or tools purchased, used or constructed within the program, including those products, objects, machinery, apparatus, implements or tools from which over thirty percent (30%) of the equipment is composed of materials purchased for the program.

For purposes of determining depreciated value of equipment used in the agreement, the program shall terminate at the end of the normal useful life of the equipment purchased, funded and/or developed with Commission funds. The Commission may determine the normal useful life of such equipment.

Goal: For the purposes of the RFP, the desired outcome for California buildings and building occupants that the proposed work will strive to achieve.

Innovation: previously unknown, unused, or not broadly adopted combination of methods, materials, processes, or conditions.

Key personnel: Those individuals who are critical to the successful completion of the proposed program and are difficult to replace because of their experience, capabilities and knowledge.

Key Subcontractors: Those contractors, subcontractors or vendors to the Contractor who are critical to the outcome of the program (those who are budgeted for 25% of the total award or \$100,000, whichever is less). As with Key Personnel, Key Subcontractors may have expertise in the particular field, or have experience that is not available from

IV. Administrative Information, Continued

another source and replacement may significantly affect the program. An employee of the Contractor's subcontractor or vendor may also qualify as "key".

Milestone: A significant point in the performance of the program. Examples include the Critical Program Review, the completion of a task, the submittal of a deliverable, the completed installation of a piece of hardware, and the initial operation of a new system.

Objective: Specific strategies to achieve a goal.

Performance metric: An indicator of the performance of a product that allows the research product to be evaluated on its ability to meet the identified technical, economic and performance goals.

Private benefit: For the purposes of this RFP, private benefit is an economic return or profit that the Bidder or a member of the team acquires for its own advantage.

Program: A collection of several projects with the same set of overall goals and objectives. Each project develops a unique product or service to help achieve the overall program goals and objectives. Within a program, the individual projects are separable and the research could be completed independently, e.g. development of energy efficient lighting, metering, and equipment options to address the issue of increasing energy consumption in hotter inland areas of California. While the projects are separable, they should have specific linkages that lead to synergies that make the program more effective as a total than if the projects were conducted separately.

Project: An RD&D effort intended to advance a specific science and/or technology that is guided by a set of goals and objectives and that is implemented according to a valid technical approach. For example, designing, fabricating and testing an advanced lighting system to achieve a specific set of economic and technical goals is a single project. Similarly, testing a number of lighting systems (previously developed by means other than the requested PIER funding) to determine and compare their technical and/or economic performance is a single project. In the latter case, the science being developed is the comparative test information and analysis.

Proposal: The formal written response to this RFP from the Bidder. If the Commission funds the proposal, the proposal will be expressly incorporated into the agreement.

Public benefit: A program produces public benefits if it achieves one or more of the following five objectives: (1) improves energy cost or value, (2) improves the environment, public health and safety, (3) improves energy reliability, quality or sufficiency, (4) strengthens the California economy, and (5) provides consumer choice. (Ref: *California Energy Commission Five-Year Investment Plan, 2002 Through 2006, for the Public Interest Energy Research (PIER) Program, Volume 1, Report to the California Legislature*, California Energy Commission, March 1, 2001. Available at http://www.energy.ca.gov/reports/reports_600.html)

RFP: Request for Proposal, this entire document. The competitive process of selecting Contractor (s) to provide services for the benefit of the Energy Commission.

IV. Administrative Information, Continued

Research: The careful, systematic, and reasonably thorough study and investigation in a particular field of knowledge, for the purpose of discovering or establishing facts or principles and developing a product or process.

Research, Development, and Demonstration: RD&D.

Stakeholder: An entity, such as an individual, corporation, trade organization, end user, research organization, university, regulatory body, government agency, financial organization, sponsor, or marketer that has a title, financial share, special skill or resource, mandated responsibility, or other direct interest in the undertaking to develop, enable, negotiate, deploy, or commercialize a technology.

State: State of California.

Task: A distinct effort that includes an objective, a description of related activities, a list of deliverables, a schedule, and a budget. Within this RFP, the task is the lowest level of a research effort. Multiple tasks support a project.

Technology: The body of knowledge, system component, device, manufacturing technique, material, etc. that will be improved as a result of the projects proposed by the Bidder.

V. Proposal Format and Required Documents

49. About This Section

This section contains the detailed technical and mandatory proposal format requirements, and the approach to be used by the Bidder for the development and presentation of proposal data. The format is prescribed to assist the Bidder in meeting State bidding requirements and to enable the Commission to evaluate each proposal uniformly and fairly. Format instructions must be adhered to, all requirements and questions in the RFP must be responded to, and all required data must be supplied.

50. Is there a Limitation in the Proposal Format and Length ?

Proposals must be presented in a clear, complete, and concise manner. The first five sections of Volume II (Table of Contents, Executive Summary, RFP Attachment 6, Program Description, Program Director and Program Team, Program Funding and Match Funding, RFP Attachment 12) should be kept to a combined maximum of fifteen (15) pages of text. Bidders are strongly encouraged to limit the length of their proposals, while adequately covering the proposal requirements.

Bidders who believe that supporting documentation or additional explanations beyond the fifteen (15) page limit are needed may attach such information in appendices to their proposal. Appendices are appropriate for items such as calculations of public and private benefits and associated discussions, calculations of performance enhancements resulting from successful completion of the proposed work, and summaries of accomplishments from previous RD&D projects that are relevant to the proposed program.

51. Is the Notice of Intent to Bid Required to Submit a Proposal?

Bidders are **encouraged** to submit a "Notice of Intent to Bid" (RFP Attachment 1) to the Commission by the date and to the address listed in Section I. The Notice may also be faxed to the Commission's Contracts Office at (916) 654-4423. This Notice is not binding on prospective Bidders, but will be used to aid the Commission in planning for the resources needed to evaluate proposals that are subsequently submitted. All Notices received by the Commission will be kept confidential until the Notice of Proposed Awards is posted.

52. What is the Required Format for a Proposal?

All proposals that are submitted under this solicitation must be typed or printed using a standard 11-point font, singled-spaced and a blank line between paragraphs. Pages must be numbered and sections titled. Spiral or comb binding is preferred. Colored photographs and colored graphs are discouraged.

Bidders **must submit** the original and 10 paper copies of Volume 1, Volume 2, and optional Volume 3. Submittals must be printed front to back.

Bidders **must also submit** electronic files of the proposal on CD-ROM or 100 or 250 MB zip diskette along with the paper submittal. Electronic files must be in Microsoft Word '97 and Excel Office Suite '97 formats.

Electronic files submitted via e-mail will not be accepted.

V. Proposal Format and Required Documents, Continued

Organize your proposal as follows:

Volume 1 Administrative Section

Cover letter

Application and Program Information Form, RFP Attachment 2

Contractor Certification Clauses, RFP Attachment 3

Disabled Veteran Business Enterprise Participation, RFP Attachments 4.1, 4.2, 4.3, as applicable

Small Business Form, if applicable, RFP Attachment 5.0

Target Area Agreement Preference Request Form, if applicable, RFP Attachment 5.1

Enterprise Zone Act Preference Request Form, if applicable, RFP Attachment 5.2

Local Agency Military Base Recovery Area Form, if applicable, RFP Attachment 5.3

Volume 2 Technical and Cost Section

Table of Contents

Executive Summary, RFP Attachment 6

Program Description, RFP Attachment 12

Program Director and Program Team, RFP Attachment 12

Program Funding and Match Funding, RFP Attachment 12

Program Scope of Work (Attachment 8, Exhibit A)

Schedule of Deliverables & Due Dates, and the Gantt Chart (Attachment 8, Exhibit A-1)

Detailed Budget (Attachment 9, Exhibit B)

List of Contacts, Key Personnel, and Key Subcontractors (Attachment 10, Exhibit F)

Customer References (Attachment 11)

Volume 3 Confidential Information, if applicable

List of Confidential Information and Intellectual Property, RFP Attachment 13

Copy of Confidential Submittal

53. What is Required in Volume 1 - Administrative Information?

The following is a list and brief description of the items (sections) that must be submitted in Volume 1 of each proposal. Bidders should carefully read this format and content information (along with the eligibility, completeness and feasibility criteria, and the evaluation criteria presented subsequently) to understand the relative importance of the information being requested in the proposal. The following five (5) sections must be included, complete, and accurate, or the proposal will fail the completeness screening and will be rejected prior to technical evaluations.

1. Cover Letter

The Bidder must submit a cover letter on company letterhead signed by a person who has the authority to bind the Bidder to an agreement for the proposed work.

2. Application and Program Information Form

Complete the Application and Program Information Form (RFP Attachment 2). Have a person who is authorized to sign agreements for your company sign the original of this form as the "Authorized Official." Note that this Application and Program Information Form, Item Number 7, Type of Entity or Business Organization, advises submittal of

V. Proposal Format and Required Documents, Continued

Articles of Incorporation, Partnership Agreement, and Fictitious Name Filing where appropriate.

3. Required Administrative Forms and Documents

A. Contractor Certification Clauses Package (RFP Attachment 3)

These are standard terms and conditions required to enter into an agreement with the State of California.

B. Disabled Veteran Enterprises Participation Requirement (RFP Attachments 4.1, 4.2, 4.3)

Public Contract Code Part 10115, et seq., and Title 2, California Code of Regulations, Part 1896.62, require all Contractors who are not governmental agencies to pursue Disabled Veteran Business Enterprise (DVBE) participation in their program. Bidders must either have three (3) percent DVBE participation in the program or must document a good faith effort to obtain DVBE participation. Failure to comply with this requirement by submitting complete DVBE forms in the proposal will result in immediate rejection of the bid and disqualification from evaluation, scoring and agreement award.

Use RFP Attachments 4.1 through 4.3, and the instructions on the back of each form, to document DVBE participation and/or good faith efforts. It is important that Bidders thoroughly read the instructions provided on each DVBE form. The DVBE compliance process is as follows:

- ☒ If you are proposing to **meet the three percent (3%) participation** goals, complete and submit Attachment 4.1 and Attachment 4.2, with a copy of the DVBE certification letter(s) from by California's Office of Small Business Certification and Resources (OSBCR) and acceptance letter from the DVBE.
- ☒ If you are proposing to **partially meet the participation** goals, complete and submit RFP Attachment 4.1 and RFP Attachment 4.2, and attach a copy of the DVBE certification letter(s) from OSBCR, as well as RFP Attachment 4.3 to demonstrate the good faith effort you performed in your attempt to meet full participation. Your good faith effort must include advertising, which is explained in RFP Attachment 4.3 instructions.
- ☒ If you have **no DVBE participation** in your proposal, you must complete and submit RFP Attachment 4.3 to demonstrate the good faith effort you performed in your attempt to meet participation. Your good faith effort must include advertising, which is explained in RFP Attachment 4.3 instructions.
- ☒ If you or a subcontractor have **applied for DVBE certification**, complete the appropriate RFP Attachments as explained above, and include a copy of the application submitted to OSBCR. Refer to RFP Attachment 5 for instructions on how to apply for certification as a DVBE.

V. Proposal Format and Required Documents, Continued

The forms to be used are:

- RFP Attachment 4.1 – Prime Bidder’s Certification of Disabled Veteran-Owned Business Participation
- RFP Attachment 4.2 – List of Disabled Veteran-Owned Business Participation
- RFP Attachment 4.3 – Documentation of Good Faith Efforts.

C. Small Business Preference (RFP Attachments 2 and 5.0)

California Government Code Section 14835 et seq., requires that a five percent (5%) preference be given to Bidders who qualify as a small business. To qualify for the small business preference points in the evaluation criteria, Bidders can be identified as a small business through either:

- The State of California, Department of General Services, Office of Small Business Certification and Resources (OSBCR) formal certification processes. The Bidder must include a copy of the approved certification letter or application for certification,
- or
- The Federal Government, Small Business Administration (SBA) self-certification guidelines.

Bidders claiming small business preference must indicate either State of California or Federal Government qualification on RFP Attachment 2, Application and Program Information. Small Business points will be awarded only if the Bidder qualifies. A Bidder having a small business subcontractor qualified does not qualify the Bidder for the small business preference points.

54. What is Required in Volume 2 – Technical and Cost Information?

The following is a description of the items (sections) that must be submitted in Volume 2 of each proposal. Bidders should carefully read this format and content information (along with the eligibility, completeness and feasibility criteria, and the evaluation criteria presented above) to understand the relative importance of the information being requested in the proposal. The following nine (9) sections must be included or the proposal will fail the completeness screening and will be rejected prior to technical evaluations.

Below is a detailed description of the information the Bidder should present in Volume 2.

1. Executive Summary

Bidders must use the template provided (Attachment 6) to prepare an Executive Summary (no longer than two [2] pages). The instructions provided in Attachment 6 will guide the Bidder in completing this section of the proposal.

V. Proposal Format and Required Documents, Continued

2. Program Description

Bidders must use the template provided (Attachment 12) to document the proposed program description. The instructions provided in Attachment 12 will guide the Bidder in completing this section of the proposal.

3. Program Director and Program Team

Bidders must use the template provided (Attachment 12) to document the proposed program director and program team. The instructions provided in Attachment 12 will guide the Bidder in completing this section of the proposal.

4. Program Funding and Match Funding

Bidders must use the template provided (Attachment 12) to document the proposed program funding and match funding. The instructions provided in Attachment 12 will guide the Bidder in completing this section of the proposal.

5. Program Scope of Work

Bidders must use the template provided (Attachment 8, Exhibit A) to document the proposed program scope of work. There are detailed instructions provided in Attachment 8 to facilitate the preparation of this section of the proposal.

6. Schedule of Deliverables & Due Dates, and the Gantt Chart

Complete RFP Attachment 8, Deliverables, Due Dates and Gantt Chart, by following the instructions contained in that attachment.

7. Detailed Budgets

Complete RFP Attachment 9, Budget Information, by following the instructions contained in that attachment.

8. List of Contacts, Key Personnel, and Key Subcontractors

Complete RFP Attachment 10, List of Contacts, Key Personnel, and Key Subcontractors by following the instructions contained in that attachment.

9. Customer References

Complete RFP Attachment 11, Customer References, by following the instructions contained in that attachment.

55. What can I put in Volume 3 – Confidential Information?

Bidders are discouraged from submitting any confidential information regarding their proposed program under this solicitation. However, if the Bidder believes that certain

V. Proposal Format and Required Documents, Continued

confidential information would be important for the scoring committee to consider, or would clarify the status of the development of the technology prior to any awarded agreement (i.e., benchmarking for royalty purposes), Bidders may submit such specifically requested and identified confidential information separately in Volume 3. Include at the beginning of this volume the Confidential and Pre-existing Intellectual Property form, RFP Attachment 13.

The Confidential Volume 3 must be packaged and sealed separately from the non-confidential Volumes 1 and 2. Volume 3 must accompany Volumes 1 and 2, must be clearly marked “**Confidential Information for RFP 500-02-501**”, and must include the **Bidder’s name** and the **program title**. Confidentiality will be determined by the Commission in accordance with the confidentiality regulations contained in Title 20, California Code of Regulations, Sections 2501-2505.

The Commission will not accept or retain any proposals that are submitted entirely in confidence. However, all proposals will be kept confidential until the Notice of Proposed Awards is posted.